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ABSTRACT

This planning guide provides eligible education agencies in New York State with the necessary information and instructions for replication grant competition in Title IV of the Elementary Secondary Education Act. Replication is the final phase of the "transferring success" process whereby a demonstrator's program is adopted by a New York State school district that has needs addressed by the program. The procedures for replication of a proven program which addresses a specific need are described chronologically in the manual. A fill-in chart is provided for districts wanting to plan a grant proposal and to administer and operate a replication project. (Author/LD)

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TRANSFERRING SUCCESS ESEA IV

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EDUCATION INNOVATION AND SUPPORT

VOLUME IV REPLICATION MANUAL

EA 011 314

The University of the State of New York
THE STATE EDUCATION DEPARTMENT
Division Of ESC General Program Planning
Albany, New York 12234

1979 - 80

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PREFACE

This planning guide for ESEA IV, Part C provides eligible education agencies with the necessary information and instructions for Replication Grant competition in Title IV, Part C in New York State.

P.L. 93-380, the Education Amendments of 1974, created Title IV of the Elementary and Secondary Education Act. The amendments extend the Elementary and Secondary Education Act of 1965.

Title IV consolidates seven categorical programs into two authorizations:

Part B: Library and Learning Resources
Part C: Educational Innovation and Support
(Part A of the title includes the authorizations, allotments, and common program requirements for the two program purposes.)

It is the purpose of Title IV, Part C to combine within a single authorization, programs formally carried out under the provisions of law governing Title III, Title V and Sections 807 and 808 of Title VIII of the Elementary and Secondary Education Act but not including that part of Title III of the Elementary and Secondary Education Act that is related to testing, guidance, and counseling which is provided for under Part B.

Information on all replication aspects of ESEA IV, Part C, including guidance in the development of proposals, may be obtained from the Replication Grant Program Manager ESEA Title IV-C, Division of Planning Field Services, Room 860, Tel. 518: 474-2380, New York State Education Department, Albany, New York 12234.

This Replication Manual was prepared by Paul Regnier and Muhammad Khan of the IV-C staff and was reviewed by many who have participated in the IV-C program. The Department is grateful for their valuable suggestions which have been included with'n these pages.

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ESEA TITLE IV-C PROGRAM IN NEW YORK STATE - AN OVERVIEW

The program described in Title IV, Part C of the Elementary and Secondary Education Act has two purposes:

- to stimulate the development of programs which are addressed to significant educational needs and which are innovative and of proven quality
- to facilitate the demonstration of such programs and their adoption by school districts which have needs addressed by these programs.

The New York State Title IV-C process promotes the spread of educational practices which successfully address needs common to many school districts within the State. There are presently 32 priority areas within which grants for program development have been awarded under IV-C. In addition, the Title IV-C program funds the demonstration and adoption of programs developed through other funding sources. The Title IV-C "Transferring Success" process has four stages: a program is Developed, Validated as effective and transferable, Demonstrated to school districts within New York State, and Replicated by New York State school districts which have needs addressed by the program.

1. DEVELOPMENT - The earliest stage in the New York State "Transferring Success" process is program DEVELOPMENT. Developer grants are awarded to certain school districts with educational needs which fall within priority areas specified for the year in which the grant is first sought. Each program developed under one of these grants addresses the needs of a State-identified priority area with an innovative approach. The purpose of these grants is to develop new answers to problems, not to continue programs which have already been developed. Developer grants are not offered every fiscal year, and not all IV-C programs have been developed under such grants. During its second or third year of funding, a successful Developer program is expected to apply for Validation.

2. VALIDATION is the next stage of "Transferring Success." Generally, no grants will be made specifically for Validation. Any New York State school district which has developed an innovative educational program with ESEA Title IV-C funding which addresses needs common to many New York State schools and which is potentially transferable to other school districts may apply for New York State Validation under Title IV-C. A school district which has received a IV-C Developer grant is expected to apply for Validation in its final year as a Developer.

The New York State validation process, as administered by the Division of Planning Field Services, New York State Education Department, consists of four steps:

1. A district seeking Validation must submit an application for Validation to the IV-C office on a form provided by that office. Evidence of the effectiveness, transferability, and cost of the program is presented in the application.
2. After a favorable review of the application by evaluators, a review team is sent to the district to verify the data and the claims made in the application.
3. The report of the team is then submitted to the IV-C office for summary and evaluation.
4. A recommendation is sent to the Commissioner of Education who makes the final decision on validation.

3. DEMONSTRATION - The third stage of "Transferring Success" is DEMONSTRATION. Grants are awarded to school districts having validated programs to become Demonstration Districts (D/D's). Funds from such a grant may not be used to operate the educational program being Demonstrated. A IV-C Demonstration project does the following:

- disseminates information and creates awareness in Local Educational Agencies (LEA's) throughout New York State
- helps LEA's to consider adopting the Demonstrator programs that meet local needs
- helps LEA's prepare proposals for Replication grants that provide "start-up" costs
- trains Replicators in the skills necessary to adopt and implement the program
- monitors and assists in evaluating replications of the program

4. REPLICATION is the final stage and ultimate goal of the "Transferring Success" process. A Replicator receives a small grant to provide start-up costs for training and/or implementation of the Demonstrated program in the first year and for evaluation of student outcomes in the second year. The Replication process should result in the adoption of a validated program.

The IV-C Mini-Project Program

Another means of promoting the development and dissemination of innovative programs, is the Mini-Project Program. Grants in this program are made to BOCES and large city school districts which in turn contract with public school districts to adopt and implement mini-projects under the supervision and financial responsibility of the BOCES and large city districts. Further information on the Mini-Project Program can be obtained from Optional Education Programs Representatives (OEP Reps) located in BOCES and large city districts which supervise these projects as well as from the Title IV-C office, State Education Department.

The chart below graphically presents the Title IV-C "Transferring Success" process and indicates the part of that process with which the rest of this Manual will deal.

DEVELOPMENT of innovative educational programs which address state- wide needs	VALIDATION of educational innovations as effective and transferable	DEMONSTRATION of Validated programs to Local Educa- tional Agen- cies through- out New York State	REPLICATION of Demonstrated programs by LEA's whose needs are ad- dressed by those programs
---	---	--	---



THIS MANUAL DEALS
WITH THIS SECTION OF
THE TRANSFERRING
SUCCESS PROCESS

* * * * *

This manual, "The Replication Manual," is number IV of the "Transferring Success" series. The publications in this series are listed below:

- I. "The Developer Manual"
- II. "The Validation Manual" (Ready March 1979)*
- III. "The Demonstration Manual"
- IV. "The Replication Manual"

Two other publications should be consulted by a district interested in replicating a validated program:

- NEW YORK STATE EDUCATIONAL PROGRAMS THAT WORK (PTW) describes all New York State ESEA Title IV-C Demonstration programs
- EDUCATIONAL PROGRAMS THAT WORK - USOE describes programs in many states which are demonstrated through the National Diffusion Network (NDN)

A school district interested in innovative programs should consult both publications (available through Optional Educational Programs Representatives - OEP Reps), since together they list validated programs which address many different educational needs.

* The current information on Validation to be followed is contained in the publication, "Transferring Successful Practices - A Manual for the Validation of Educational Products and Processes", Division of Planning Field Services, The State Education Department, Albany, New York 12234, 1976, 34pp.

AN INTRODUCTION TO TITLE IV-C REPLICATION

Replication is the final phase of the Transferring Success process through which a Demonstrator's program is adopted by a New York State school district which has needs addressed by the program.

A New York State school district which has a specific educational need should consult "New York State Educational Programs That Work (PTW)" and "Educational Programs That Work - USOE" (see page 4 of this Manual). A district may determine whether any of the programs listed in these publications address its needs. The districts Demonstrating the programs are funded to provide certain specified services. When a district finds a program listed in one of these publications which seems to address its needs, it should contact its Optional Educational Programs Representative (OEP Rep) for more information about the program. Once a district has received awareness and/or preliminary training from the D/D and is committed to adoption of the program, it may apply for a Replication grant which is generally not renewable. This grant provides "start-up" and evaluation funds so that the Replicating district may be trained, begin implementing, and evaluate the program. Application dates for such grants will be announced each year to school superintendents.

The procedures by which a New York State school district may replicate a proven program which addresses a specific need are chronologically described in the rest of this Manual. They are also outlined chronologically in the following chart. The chart - with its "DATES" section in the left-hand column - will help a district plan a grant proposal and administer and operate a Replication project.

Chart of ESEA IV-C Replication

DATES	Phase I - PLANNING AND GRANT APPLICATION
_____	Carry out needs assessment, define problem
_____	Survey solutions
_____	Select Demonstration programs from "Programs That Work" publication (PTW)
_____	Make contact with OEP Reps
_____	Review Demonstrator's awareness materials
_____	Contact OEP Rep
_____	Attend awareness workshop or visit program site
_____	Negotiate for Demonstrator services
_____	Submit original and 6 copies of Replication grant proposal to SEL
_____	Receive approval/disapproval of Replication grant proposal
Dates	Phase II - ADMINISTERING THE REPLICATION GRANT
_____	Administer budget
_____	Establish Evaluation Procedures
_____	Acquire and organize staff, facilities, etc.

DATES

Phase III - REPLICATING THE PROGRAM

Acquire training

Install program

Evaluate program

Institutionalize program

DATES

Phase IV - COMPLETION OF GRANT PERIOD

Spend remaining funds where essential

Organize evaluation data relating to
project ObjectivesSubmit reports to State Education
DepartmentContinue program operation with dis-
trict's budget

Part A. PLANNING AND APPLYING FOR A REPLICATION GRANT

Chapter 1 - Problem Identification and Planning

1.1 Needs Assessment - Any decision to seek a program which will address an educational need should be based on a systematic assessment of the district's needs which should provide substantial data to justify the district's needs. Such an assessment, when used as the basis for a Federal grant application, must include participation of persons, "broadly representative of the cultural and educational resources of the area to be served." A need is a gap between the present situation and a desired goal. The present situation should be substantiated through objective evidence. Generally, a needs statement should be made in terms of student behavior. Examples of appropriate needs statements are:

- twice as many students should receive academic high school diplomas as do now
- reading scores in the third grade should be raised so the distribution of scores approximates that in other communities similar to ours
- the proportion of students who start to smoke in our high schools should be reduced from the present 50% to 10%

1.2 Survey of Solutions - Once the need has been systematically identified and clearly and objectively stated, the search for a solution may begin on a firm basis. A school district may be able to address its needs through a locally developed program using tax levy funds, or a search of the literature in a particular educational area may reveal a program which can be easily adapted to serve a district's needs. Assistance in such a literature search may be sought from the Educational Programs and Student Information Service Unit (EPSIS) at the State Education Department - 518: 474-3639. State and Federal programs (such as those under ESEA Titles I and VI) may address the needs. "New York State Educational Programs That Work" (PTW) a publication of the New York State ESEA Title IV-C program, lists all projects funded in the State under ESEA IV-C to Demonstrate educational programs which have been verified as effective and transferable and the Federal publication "Educational Programs That Work" lists validated programs in many states.

1.3 Choosing a Demonstration Program - A district considering the possibility of adopting a IV-C Demonstration program needs copies of these publications. They are organized by category and list the

needs served, the activities, the expectations a potential Replicator may have, the evaluation data, awareness activities, and services for Replicators. The Optional Educational Programs Representative (OEP Rep) for the district's region will help the district choose and get in touch with an appropriate Demonstrator. A district served by a BOCES may obtain the name of its OEP Rep from the BOCES; a district not served by a BOCES should contact its central district office for this information.

1.4 Awareness Workshops - Each Demonstrator has prepared brochures which usually contain information about workshops and/or site visits at which interested districts may gain more concrete experience of the program. An awareness workshop is usually organized regionally by an OEP Rep. The dates and location of a workshop will be provided to interested districts well in advance of the workshop. Interested districts should inform Demonstrators and OEP Rep's of their intention to attend or not to attend. During a site visit the actual program may be seen in operation and visitors may talk with more participants in the program.

Chapter 2 - Commitment to Replication

2.1 Selection of Replicators by the Demonstrator - One of the tasks of the New York State Title IV-C Demonstrator is to assess the potential abilities of districts which feel that they need the Demonstrator's program to Replicate it. The Demonstrator will make this assessment from data obtained from the district. The data should show:

- the relationship between the documented needs of an interested district and the needs which the Demonstrated program addresses
- the ability of an interested district to financially support the program after it receives some "start-up" costs
- the commitment which the district's teachers and administrators show to the program's Objectives and methods

2.2 Involvement of Administration and Board of Education - Once a school has identified its needs, surveyed solutions to those needs, and found a correspondence between its needs and those served by a Demonstrated program, it is ready to consider writing and submitting an ESEA Title IV-C Replication grant proposal. At this point, those in authority in the school system must decide to support the planned program. Failure of key decision-makers to involve staff in the process and failure of staff to involve key decision-makers in grant preparation have been major sources of failure in past change efforts.

2.3 Assistance Before Award of the Replication Grant - A district which becomes interested in a particular program early in the school year may wish to begin some activities without ESEA Title IV-C funding. In that event, agreement to carry out such activities must be made between the Demonstrator and the Replicator.

Chapter 3 - Application for a Replication Grant

3.1 Negotiation with the Demonstrator - A proposal for a Replication grant should reflect an agreement between a Demonstrator and a potential Replicator as to how the program being Demonstrated is to be transferred to the Replication district. The Demonstrator has developed a "package" of service and materials which will allow a Replicator to achieve the Objectives of the program. This package should serve as the basis for the Replication grant proposal. Both Demonstrator and Replicator should clearly understand that the grant is for the transfer of a particular program or of particular program components as Validated by the New York State Commissioner of Education. The Replicator may not adapt the program in such a way as to substantially alter the program's major Objectives, activities, or evaluation methodology.

3.2 Eligible Applicants - A project proposal may be submitted only through a Local Educational Agency (LEA) which is identified as constituted by either:

- a local public Board of Education
- a Board of Cooperative Educational Services (BOCES)
- certain campus schools in public universities

If two or more legal applicants cooperate on a project, one district must be responsible as legal and fiscal agent for the group and must submit the proposal with signatures of the Chief School Officers of the other districts in the consortium.

3.3 Nonpublic School Participation - According to federal law, the LEA is responsible for making accessible to children in nonpublic, as well as public, schools all benefits authorized under Title IV-C. The LEA must determine which nonpublic schools are within its attendance area, and involve representatives of all of those nonpublic schools in planning, grant preparation, and Replication activities. If any of the school officials of nonpublic schools in the attendance area do not wish to participate in the project, the LEA must secure "sign-off" letters to that effect from the nonpublic school officials and that letter must accompany that grant application. The control of funds under Title IV-C and the title to materials and equipment must remain in and be administered by an LEA.

3.4 Provisions for "Less-Able-To-Compete" Districts - An LEA which has been declared less-able-to-compete due to small size or lack of financial resources may, according to Federal regulations, receive special help in formulating proposals and operating programs from the State Education Department. The specific criteria used in determining "less able to compete" school districts are up-dated annually and those districts identified as meeting these criteria will be notified by the IV-C office of the extra assistance for which they are eligible.

3.5 The Grant Application - Between this page and page 13 is the grant application form. The pages of the application are numbered separately from the rest of this Manual; page numbers in the application are preceded by the letter A. A district wishing to replicate a particular Demonstration program should complete the proposal in consultation with the Demonstrator and in conformity with the IV-C Request For Proposals (RFP) for Replication of IV-C Demonstration projects for the year in which the application is submitted. This RFP is available from the OEP Rep, the ESEA IV-C office, or from the Special State and Federal Programs Unit of the New York City Board of Education, Room 644, 110 Livingston Street, Brooklyn New York, (for New York City districts). Sections 3.6-3.13 of this Manual consist of instructions for the completion of this application by potential Replicators.

The University of the State of New York
THE STATE EDUCATION DEPARTMENT
Division of ESC General Program Planning
ESEA Title IV C Office
Albany, New York 12234

A-1

FILE NUMBER

SECTION 1

BASIC PROJECT APPLICATION DATA: ESEA TITLE IV PART C

1.

[REDACTED]

.....PLEASE COMPLETE ALL ITEMS BELOW.....

2.

a. Indicate the 12 digit BEDS Public School District Code.

BEDS PUBLIC SCHOOL DISTRICT CODE											

b. This application is being submitted in response to Request for Proposal (RFP) number (New applicants only).

c. Project Title

3.

a. Local Educational Agency Congressional District(s) #

b. Name of Chief School Officer

c. Address Street City Zip County

4.

Director and/or Coordinator of Project or Contact Person

a. Name Title

b. Address Street City Zip Phone () Area Code Number Ext.

5.

Indicate the type of agency receiving the Grant. (Check one box only.)

☐ 28 Public School District	☐ 29 BOCES	☐ 30 Nonpublic School
☐ 31 College or University	☐ 32 Education Department	☐ 33 Department of Mental Hygiene
☐ 34 Division for Youth	☐ 35 Corrections Department	☐ 36 Health Department
☐ 37 Private/Non-Profit Organization	☐ 38 Other	

011
79 80

6. Beginning Date of Project

14	Mo.	15	16	Day	17	18	Yr.	19
----	-----	----	----	-----	----	----	-----	----

Ending Date of Project

20	Mo.	21	22	Day	23	24	Yr.	25
----	-----	----	----	-----	----	----	-----	----

7. Total Federal Funds applied for in Proposed Budget (Total Project Budget). (Last digit must be in far right box.)

\$

26								33
----	--	--	--	--	--	--	--	----

8. If all or part of this project has no Direct Services involved indicate the type of project below. (Check as many boxes as applicable.)

☐ 34 Managerial and/or Administrative Budget	☐ 35 Inservice Education	☐ 36 Search and Find
☐ 37 System (i.e., SELMC, NYSCC)	☐ 38 Curriculum Development	☐ 39 Planning
☐ 40 Materials and Equipment	☐ 41 Evaluation	☐ 42 Guidance and Counseling
	☐ 43 Research and Development	☐ 44 Other

9. Indicate the year in which a needs assessment was completed for this project.

45	1	9		48
----	---	---	--	----

10. Is this a cooperative project with another Public School District or BOCES?

☐ 49 Yes ☐ 50 No

11. Indicate the number of project sites (buildings). (Last digit must be in far right box.)

51				53
----	--	--	--	----

12. Estimated Number of K-12 Students to be served in this project. (Direct services only.) (Last digit must be in far right box.)

54					58
----	--	--	--	--	----

13. Estimated unduplicated Number of Professional Staff (Include Full and Part Time Personnel) to be funded under this project. (Last digit must be in far right box.)

59					63
----	--	--	--	--	----

79	0	2	80
----	---	---	----

14. PROJECT STATUS: (Check one box only.)

☐ 14 New	☐ 15 Continued	☐ 16 New and Continued
---------------------------------	---------------------------------------	---

15. Target population served: (Check as many boxes as applicable.)

☐ 17 General	☐ 18 Disadvantaged	☐ 19 Handicapped
☐ 20 Adult	☐ 21 Post Secondary	

16. Is this project to be financed in part with funds from any other sources? (Check one box only.)

☐ 22 Yes	☐ 23 No
---------------------------------	--------------------------------

17. Indicate the Evaluation Models to be used. (Check as many boxes as applicable.)

☐ 24 U.S.O.E. A ₁ : Comparison with National norm based prediction	☐ 25 U.S.O.E. C ₁ : Special regression discontinuity with only National norm tests.
☐ 26 U.S.O.E. A ₂ : Comparison with National norm prediction augmented by local norm estimate.	☐ 27 U.S.O.E. C ₂ : Special regression discontinuity with National norm and local norm tests.
☐ 28 U.S.O.E. B ₁ : Comparison of treatment and nontreatment group with only National norm tests.	☐ 29 Grade equivalent historical regression based prediction
☐ 30 U.S.O.E. B ₂ : Comparison of treatment and nontreatment group via National norm and local norm tests.	☐ 31 Criterion referenced assessment solely.
☐ 32 Individual pre/post test pupil reporting	

03

79 80

INFORMATION ON PROJECT PARTICIPATION

A-4

18. a. Type of ESEA Title IV-C Grant being requested. (Check one box only.)

☐ 14 Developer ☐ 15 Validation ☐ 16 Demonstration ☐ 17 Replication

b. District Enrollment: (Check one box only.)

☐ 18 Under 599 ☐ 19 600-4 999 ☐ 20 5,000+

c. Special Target Population Served by this project. (Check as many boxes as apply.)

☐ 21 Gifted/Talented ☐ 22 Bilingual ☐ 23 Early Childhood ☐ 24 Staff Training

19. Review of Literature
(To be completed by Developer Grant Applicants Only)

a. Was a literature search conducted at your request by the SED's Education Programs and Studies Information and Service Unit. (Check one box only.)

☐ 25 Yes ☐ 26 No

NOTE: See p. 3, for comments on this service.

b. If your response to "A" above is "Yes", how valuable was the search? (Check one box only.)

☐ 27 Much Value ☐ 28 Some Value ☐ 29 Little Value

c. If your response to "A" above is "No" indicate what resource was used.

d. Please indicate any suggestions on how this service might be improved in the space provided below:

20. Estimated Budget (1 Yr.) Title IV C Funds Requested (Indicate to nearest whole dollar. Do not use decimals.)

Item of Expenditure		Total Dollar Amount	
1.	Personnel (include fringe)	30	35
2.	Contracted Services	36	41
3.	Equipment	42	47
4.	Materials	48	53
5.	Inservice Training (Stipends)	54	59
6.	Travel	60	65
7.	Other (specify) _____	66	71
8.	TOTAL (This amount should be indicated on page 2 of application, Item 7.)	72	77

0 6
79 80

21.

Types of Participants	Number of Participants																			
	Public										Nonpublic									
	Pre-K		Gr. K-6		Gr. 7-12		Other		Total		Pre-K		Gr. K-6		Gr. 7-12		Other		Total	
Pupils Participating Directly in Project	14	18	19	23	24	28	29	33	34	38	39	43	44	48	49	53	54	58	59	63
Teachers Participating Directly in Project	14	18	19	23	24	28	29	33	34	38	39	43	44	48	49	53	54	58	59	63

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2. **NEEDS** - A need is a gap between the present situation and a desired goal.

- A. Describe the present situation to which the Objectives and activities listed in this application are addressed; provide the concrete evidence (not opinions) which support the description of the present situation against which the results will be measured:
- B. Describe the desired goal which the Objectives in this application are expected to achieve:
- C. Describe the efforts which the district has made to review other programs and relevant research:

3. Nonpublic School Participation

Check one of the following, providing necessary lists of nonpublic schools as requested in items B and C.

- _____ A. There is no nonpublic school within the attendance area of the district.
- _____ B. Officials of nonpublic schools within the district's attendance area have been involved in the planning for this grant application and have decided to participate. (Attach list of the name(s) of nonpublic schools participating, address(es), grade levels involved and approximate number of participating teachers and children.)
- _____ C. Officials of nonpublic schools within the district's attendance area have been involved in the planning for this grant application and have decided not to participate in the program. (Attach letters from nonpublic schools acknowledging that they will not participate in the program.)

4. OBJECTIVES: Give each required element for each Objective in the boxes below. Photocopy as many sheets as necessary. See Section 3.10 of this Manual for instructions and examples of Objectives.

Objective #	Nonpublic school participation in this Objective	Yes	No
A. <u>Person or object</u> to be changed	A.		
B. Description of <u>change</u>	B.		
C. Description of <u>program</u> causing change	C.		
D. <u>Date</u> by which change will be accomplished	D.		
E. <u>Criteria</u> used to judge success	E.		

6. EVALUATION METHODOLOGY

1.0 A. Statement of Objective:

B. Description of Evaluation Strategy for this Objective:

C. Materials and Personnel requirements for evaluation of this Objective:

* Cost \$ _____

2.0 A. Statement of Objective:

B. Description of Evaluation Strategy for this Objective:

C. Materials and Personnel requirements for evaluation of this Objective:

* Cost \$ _____

* These costs are in addition to the costs identified on Page A-9, activities section.

ASSURANCES

THE APPLICANT HEREBY ASSURES THE COMMISSIONER OF EDUCATION OF THE STATE OF NEW YORK THAT:

1. The activities and services for which assistance is sought under this grant will be administered by or under the supervision of the applicant;
2. The Applicant will comply with Title IV of the Civil Rights Act of 1964 (P.L. 88-352) and all requirements imposed by or pursuant to the Regulations of the Department of Health, Education, and Welfare (45 CFR Part 80) issued pursuant to the title, to the end that no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant receives Federal financial assistance from the Department. (The desegregation plan previously filed with the U.S. Office of Education in accordance with the Department of Health, Education, and Welfare Regulations applies to this application);
3. All equipment acquired with funds under Title IV, Part C will be used for purposes specified in the approved project proposal, will be under administrative control of the applicant throughout its expected useful life so long as the equipment is used for its original purpose;
4. The project will be operated in compliance with Public Law 93-380, as amended, and with Regulations and other policies and administrative issuances by the U.S. Commissioner of Education including submission of such reports as may be required;
5. The applicant will make an annual report and such other reports to the State Education Department, in such form and containing such information, as may be reasonably necessary to enable the State Education Department to perform its duties under Title IV, Part C, including information relating to the educational achievement of students participating in programs carried out under Title IV, Part C, and will keep such records and afford such access thereto as the State Education Department may find necessary to assure the correctness and verification of such reports;
6. The filing of this application has been authorized by the governing body of the applicant, and the undersigned representative has been duly authorized to file this application for and in behalf of said applicant and otherwise to

act as the authorized representative of the applicant in connection with this application. (Attach copy of authorizing document, i.e., Board Resolution).

7. Compliance will be made with Section 438-440 of the General Education Provisions Act relating to "Protection of the Rights and Privacy of Parents and Students."
8. Compliance has been made with Title IX, Education Amendments of 1972, Prohibiting Sex Discrimination in Education.

I, _____, do hereby certify that all of the facts, figures, and representations made in this application, including all exhibits and attachments hereto and hereby made a part of this application, are true and correct to the best of my knowledge and behalf.

(Date)

(Legal Name of Applicant)

Signature of Chief School Officer

PLEASE attach required Board Resolutions as requested in Assurance #6.

ABSTRACT

Limit to one Page

(The abstract will be used by the Title IV-C office in several ways. Since it will be removed from this application, we ask you to repeat some information from the first page of the application).

1. School District _____
(Popular name, address and county)
-
2. Title of Project _____
3. Type of Grant: Developer Demonstration Replication
(circle)
4. Total Budget: \$ _____
5. Pupils served: Number Public Number Nonpublic

Need Statement Summary:

Major Objectives:

Major Activities:

Major Evaluation Activities:

3.6 Instructions for Completion of the Replication Grant Application - The following instructions refer to the completion by applicants for Replication grants of the ESEA Title IV-C grant application in Section 3.5 (pp. A-1 - A-13) of this Manual.

3.6.1 Page A-1

- A Replicator should leave the box in the upper right hand corner blank.
- School districts are not to write anything in Item #1 - the gray area labeled "For SED use only."
- The district's public school BEDS code should be placed in Item 2A. Item 2B should contain the number of the RFP for Replication of IV-C Demonstration projects for the year of the application (see Section 3.5 above); Item 2C should read "Replication of" (followed by the title and file number of the Demonstration project being Replicated).
- Supply information for Item 3; the number of every Congressional District which lies, in whole or in part, in the school district should be given.
- Item 4 should contain the name of the person who will actually operate the project.
- For Item 5, either box 28, 29, or 31 should be checked.

3.6.2 Page A-2

- The beginning and ending dates required by Item 6 are generally 07/01 of the current year and 06/30 of the final year of the Grant Period.
- Item 7 should reflect the total of Item 20; the last digit should be in the right hand box; indicate to the nearest whole dollar; do not use decimal points or commas.
- For Item 8, "direct services" means a traditional teacher/student relationship (e.g., classroom situation, tutoring).
- For Item 9 the needs assessment has usually been completed in the year of grant submission or in the previous year.
- The "cooperation" in Item 10 is not that between Demonstrator and Replicator but only that among a number of Replicators applying for the same grant together.

- Item 11 should include all buildings in which the Replication activities will take place during the period of the grant.
- Complete Item 12 as directed.
- Item 13 should include only professional staff and each part-time professional should be counted as one.

3.6.3 Page A-3

- Potential Replicators should check "new" under Item 14.
- For Item 15, check "General" for any group other than those specified and check as many boxes as possible.
- Since Replicators must commit local funds in order to be considered for IV-C funding, Item 16 should be checked "yes".
- For Item 17, indicate the evaluation model which the Replicator will use to evaluate the program during the Grant Period. This model should be essentially similar to the model used by the Demonstrator to evaluate its program when it was Validated. (See the "Evaluation Methodology" section of this application and Section 3.12 of this Manual).

3.6.4 Page A-4

- Check "Replication" in Item 18A. Check the appropriate box for Item 18B. For Item 18C check "staff training" and any other special target population which will be served by the Replication program.
- Ignore Item 19.
- Item 20 should include all costs for training and installation for which the Replicator is requesting funds.
- For Item 21, indicate the numbers of students receiving direct services as defined in Section 3.6.2 above and the numbers of teachers from the Replication district who will be trained during the Grant Period. Use the "Other" column where a project incorporates learning experiences for people other than those in the levels of schooling mentioned - for example, parents of participating pupils.

3.7 Planning Process - This section should contain a history of the needs assessment, of the survey of solutions, and of all contacts with the Demonstrator, the OEP Rep, and TAC. Also indicate the involvement of nonpublic school personnel and other appropriate groups which led to the submission of this proposal (see Sections 1.1-3.1 of this Manual).

3.8 Needs - This section requires a description of the Replicator's needs which are to be addressed by the program. Also describe the assessment discussed in Section 1.1 of this Manual, and alternative solutions discovered through sources discussed in Section 1.2 of this Manual.

3.9 Nonpublic School Participation - This section of the application should reflect results of the contact with nonpublic schools described in Section 3.2 of this Manual. A district applying for an ESEA Title IV-C grant must check one of the items in this section of the application and attach required materials if either B or C is checked.

3.10 Objectives - These Objectives should be essentially similar to the Objectives for which the Demonstrated program was originally Validated. The Replicator should request these original Objectives from the Demonstrator. The Objectives must be stated behaviorally to show:

- a. who or what is to do . . .
- b. what because of . . .
- c. what program, events, or activities by . . .
- d. what date, as measured by . . .
- e. what criteria of measurement.

3.11 Activities - These activities should be essentially similar to the activities which the Demonstrator has specified (in its Validation application) as necessary for the Replication of the program. For each Objective, both those activities which prepare for the final activities (e.g. training, acquiring materials) and the final activities themselves (e.g., instructing students, using a management system) should be listed. Nonpublic participation or non-participation should be indicated for each activity.

3.12 Evaluation Methodology - This methodology should be essentially the same as the evaluation methodology originally used to evaluate the program for Validation. The Replicator

should request a description of this original evaluation methodology from the Demonstrator. The Demonstrator and the State Education Department will monitor implementation of this methodology and the results it yields.

3.13 Signatures and Abstracts - The Chief School Officer of the district applying for the Replication grant must sign at the end of the Assurances. A copy of the Board of Education resolution authorizing the submission of this proposal must be attached to the proposal. The one-page abstract must be completed, concisely condensing the information on the application.

3.14 Replication Budget - The district applying for the grant must complete a project budget on form FA-10 and attach it to the application. The FA-10 form may be found in the booklet Fiscal Guidelines For Federally Funded Projects. ESEA Title IV-C funds for the project may not be released until an FA-10 budget for the project has been approved. Each Replication grant applicant must consult with its Demonstrator to determine the level of ESEA funds necessary for Replication and the allocation of these funds in the budget categories in the FA-10. The FA-10 form must be signed by the Chief School Officer of the applicant district.

Chapter 4 - The Replication Proposal at The State Education Department

4.1 Deadline - An original and five copies of the Replication proposal must be received at the ESEA Title IV-C office. The State Education Department, Room 860 EBA, Albany, NY 12234, before the deadline date established by that office.

4.2 Screening Criteria - Proposals will generally be disqualified and not reviewed if they are received after the deadline or are missing any of the following:

- original copy
- original signature of authorized official
- signed assurances and Board resolution
- letters from nonpublic school officials who wish to or do not wish to participate in the program

Projects may be delayed in review should information be missing from any other parts of the application.

4.3 Review Criteria - Each Replication grant proposal which passes initial screening is reviewed by two persons using rating instruments whose items reflect the following criteria:

- involvement of appropriate groups and individuals from the school community - especially teachers, students, and nonpublic school personnel - in the planning of the proposal
- adequate planning reflected in specific planning events
- correspondence to specifications of the Replication RFP for the year the proposal is submitted
- a well developed operational plan expressed in concise Objectives with appropriate activities
- adequacy of the program's evaluation design for measuring the achievement of the Objectives
- availability of evidence that the program's approach will successfully satisfy the needs to which it is addressed
- appropriateness of expenditures to the achievement of Objectives

- awareness of information concerning similar programs, relevant research findings, and views of recognized experts
- ability of a district to continue the program after initial costs are paid

4.4 Approval or Disapproval of the Proposal - After the review, notification of approval or disapproval is sent to all districts which have submitted Replication proposals. A "Notification of Grant Award" is sent to each successful Replication district, authorizing the dispersal of funds to the district through the State Education Department, Division of Educational Finance. A district whose Replication proposal is disapproved may request a hearing by contacting the ESEA Title IV-C office. The hearing will offer an opportunity for the applicant to substantiate any complaint concerning the processing of the grant and/or the significance of the proposal.

Part B - REPLICATING THE PROGRAM

THIS SECTION OF THE REPLICATION MANUAL IS TO BE USED BY SCHOOL DISTRICTS WHICH HAVE BEEN AWARDED REPLICATION GRANTS

Chapter 5 - Administering the Grant

5.1 Establishing Timelines - A district whose Replication grant proposal has been approved should collaborate with the Demonstrator on the establishment of timelines for the activities described in the grant proposal as well as other activities which will take place after the Grant Period.

5.2 Budget and Accounting Procedures - All funds received by a district from the Division of Educational Finance for use by the Replication project must be kept in an account separate from any other funds controlled by the district, although purchases may be consolidated to take advantage of bulk purchases. All expenditures of these funds must take place between the beginning and the end of the Grant Period specified by the "Notification of Grant Award." Any commitments made by the district before receipt of the Grant Award for expenditure of project funds must be made contingent upon receipt of the award. Tentative arrangements may be made before the Grant Period for consultants to serve at the beginning of this period as long as such arrangements are contingent upon the receipt of the Grant Award. A separate ledger must be maintained by the district for the expenditures of the Grant Period and a receipt of each individual expenditure retained. The Division of Educational Finance will require certified copies of these records. Federal funds from ESEA Title IV-C are not to be commingled with other funds.

5.3 Budget Amendments - Expenditures should be made according to the specifications in the project budget (form FA-10 - see Section 3.14 of this Manual); no increase in the total budget is permitted. Transfers of funds within Replication budgets are discouraged, but when absolutely necessary due to unforeseeable circumstances, funds may be transferred among the various categories in the project budget through the budget amendment form FA-10-A as given on pages 41-44 of "Fiscal Guidelines for Federally Funded Projects". The "General Directions" on the first page of the FA-10-A form should be used to determine when a budget amendment is required.

5.4 Establishing Evaluation Procedures - At the beginning of the project's operation, the evaluation instruments specified in the "Evaluation Methodology" section of the Replication proposal should be ready.

5.5 Provisions for Contracted Services, Physical Plant, and Equipment - Contracted services specified in the grant proposal should be arranged for according to their use during project activities. Physical facilities appropriate for the project's operation should be provided by the Replicator. Any equipment costing over \$2500 should have at least three bids. Equipment should be insured according to local Board regulations for insuring similar equipment. Changes in approved contracted services or in the approved equipment list must be submitted for reapproval by the ESEA Title IV-C Program Manager.

5.6 Record Keeping - Along with the accounting and evaluation records specified in Sections 5.2 and 5.4 of this Manual, records should be kept of all other project activities for the information of the project personnel and of the various State Education Department personnel who monitor the project.

5.7 Nonpublic School Participation - Nonpublic schools within the Replication district's attendance area must be involved in the planning for the Replication project and must be offered the opportunity to participate in the training and other activities provided. Mutual agreement among the Demonstrator, the Replicator, and the nonpublic participants should be reached regarding the training schedule. The Replicator may loan materials and equipment to a nonpublic school receiving this training but title to such materials and equipment must remain with the public school. No Federal funds may be given to a nonpublic school.

Chapter 6 - Replicating the Program

6.1 Training Workshops - Generally, training will take place during a series of training workshops at or near the Replication site, although sometimes training will occur at the Demonstration site. Nonpublic schools which are committed to the Replication should be notified of the workshop schedule so that they may receive training with their public school counterparts. The Replicator should select the workshop participants in collaboration with the Demonstrator. Generally, training workshops take place during the school day and the participants are given release time by the Replicating districts. Substitutes are paid either from local or from ESEA Title IV-C funds according to the provisions of the Replication grant. The Replicator should provide the Demonstrator with the names of public and nonpublic school participants at least two weeks before a workshop. The Replicator should ensure, in collaboration with the Demonstrator, that all necessary materials, equipment, etc. have been received well in advance of the workshop.

6.2 Installation - Once a Replicator has been trained it should be prepared to install the program in its district. The Replicator should clearly understand the ways in which the Demonstrator intends to monitor the Replicated program and the ways in which the Demonstrator will help the Replicator to install the program.

6.3 Monitoring the Replication Program - The Demonstrator will review the Replicator's progress in carrying out program activities and its success in realizing program Objectives. The Replicated program should never be altered in such a way as to be no longer capable of realizing the program's Objectives. The Demonstrator and the Replicator are responsible to the State Education Department for proper operation and accurate record keeping of the Replication program.

6.4 Institutionalization - After the ESEA Title IV-C Grant Period is over and a program has been installed in the Replication district, a Replicator should ensure that the program is institutionalized as a normal and permanent part of the district's total program. The Demonstrator may continue to be available to provide the Replicator with technical assistance.

Chapter 7 - Completion of the Grant Period

7.1 Some of the activities discussed in the preceding chapters will continue after the Replication Grant Period. This final chapter of the Replication Manual is, however, devoted to administrative requirements at the end of the Grant Period.

7.2 Budget - ESEA Title IV-C funds for Replication activities must be expended before the end of the Grant Period. The ending date of the grant period can be found on the first page of the project budget (FA-10) and on the "Notification of Grant Award". When absolutely necessary due to unforeseeable circumstances the Grant Period may be extended by the ESEA IV-C Manager so that the Replicator may finish the activities proposed for the Grant Period. A letter requesting such an extension should be sent to the IV-C Program Manager at least two weeks before the end of the normal Grant Period. If the completion of Replication activities during the extension requires the transfer of funds among budget categories, a budget amendment (see Section 5.1 of this Manual) must accompany the request for extension. Money not spent or encumbered before the end of the Grant Period will be deobligated to the State. Information on grant expenditures will be included in the "Final Project Expenditure Report" (form FA-10-F in "Fiscal Guidelines for Federally Funded Projects") due no later than 90 days after the end of the Grant Period.

7.3 Evaluation - All data resulting from the evaluation of the Replicated Program must be analyzed and organized with a view toward determining progress made toward the Objectives. The Mailed Information Report (MIR), which is due before the end of the Grant Period, requires information on such evaluation activities. Forms for this report may be received from the Bureau of School and Categorical Programs Research, State Education Department, Albany, NY 12234.

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